

# **Alabama Historical Commission**

## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
October 25, 2000**

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# **Functional and Organizational Analysis of the Alabama Historical Commission**

## **Sources of Information**

### **Representatives of the Alabama Historical Commission**

Lee Warner, Director  
Blythe Semmer, Survey and Registration  
Carolyn Hinson, Survey and Registration  
Clara Hudson, Director's Office  
Camille Bowman, Planning and Architecture Services  
Daphne Owens, Archeological Services  
Pat Weir, Administration  
Robert Gamble, Architectural History

Code of Alabama 1907, 1923, and 1940

Code of Alabama 1975, Sections 41-9-240 through 41-9-254

Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Administrative Code, Chapter 460

Alabama Government Manual (1998)

Government Records Division, State Agency Files (1985-ongoing)

Holdings of the Department of Archives and History

## **Historical Context**

The earliest efforts at historical preservation in this country began following the Civil War, but the archaeological history of the state was of interest as early as the mid-1800's, as demonstrated in an 1853 report on the Bottle Creek site in Baldwin County. The Alabama Legislature created the Department of Archives and History in 1901. Duties of the department included the preservation of historic documents and artifacts as well as the exploration of prehistoric and Indian mounds and the direction and control of marking historical sites and houses.

The first federal act regarding preservation was the Antiquities Act of 1906, which authorized the president to declare a structure of historic or prehistoric merit a national monument if it was located on public lands. The Alabama Anthropological Society was founded three years later in 1909. The first federal preservation institution, the National Park Service (NPS), was created in 1916.

Large archaeological surveys were undertaken in Alabama in conjunction with the Works Progress Administration and the Tennessee Valley Authority. The Historic Sites Act of 1935 created a national survey of historic sites and encouraged cooperative agreements between private and governmental bodies for maintenance of those sites. The act also created a system of National

Historic Landmarks to be designated by the Secretary of State. The Historic American Buildings Survey was undertaken in the 1930's to document historic properties across the nation, including 720 structures in Alabama. In 1939, the state legislature created the Division of State Parks, Monuments, and Historic Sites within the Department of Conservation. This division was responsible for exploring, surveying, and studying sites and for publicizing sites designated as historic by the Department of Archives and History. In 1943, the state legislature established the Cahaba Historical Commission and the Gorgas Memorial Board, and in 1955 established the Fort Morgan Historical Commission. In 1949, Congress created the National Trust for Historic Preservation.

In 1966, following increased urban renewal projects that threatened historic buildings, the National Historic Preservation Act was passed. This act requires that federal agencies, in consultation with the State Historic Preservation Officer, evaluate the effects of their activities on cultural resources (known as Section 106 reviews); establishes a National Register of Historic Places with national standards; establishes standards for the surveying of cultural resources; and provides matching grants-in-aid for community preservation projects. The act also created the Advisory Council on Historic Preservation, which advises the president and Congress on historic preservation. Also in 1966, the Department of Transportation Act was passed, which prohibits the department from using any significant historic sites on public or private land for federal or federally assisted highway purposes unless there is no feasible and prudent alternative.

The state legislature established the Alabama Historical Commission in August 1966 (Acts 1966, Ex. Sess., No. 168, p. 190, § 1). By 1975, the commission was given control of Cahaba Historical Site, the Gorgas Home, and Fort Morgan. The Archaeological Resources Protection Act of 1979 requires that the National Park Service, in consultation with the State Historic Preservation Office, issue a permit for any ground disturbance

## **Agency Organization**

The commission is composed of twenty-one members, including the governor; lieutenant governor; speaker of the House of Representatives; the directors of the Department of Archives and History, Bureau of Travel and Tourism, and the State Building Commission; the Commissioner of the Department of Conservation and Natural Resources; the chairman of the Historic Chattahoochee Commission; and thirteen members appointed by the governor. The governor makes his appointments from a list of three nominees submitted by each of the following: Alabama Council of the American Institute of Architects, Alabama Historical Association, the Business Council of Alabama, Alabama Farm Bureau Federation, Alabama Archaeological Society, the President of the University of Alabama, the President of Auburn University, the President of the University of South Alabama, the President of the University of Montevallo, and the President of Troy State University. Three members are appointed by the governor from the state-at-large. Appointed members serve six-year terms. The commission selects an executive director, who hires such staff as necessary. All employees of the commission, except for the director, projects supervisor, and state archaeologist are subject to the state merit system.

The commission manages the following sixteen state-owned properties: Cahawba in Dallas County; Confederate Memorial Park and Cemetery at Mountain Creek; Dr. Francis' Medical and Apothecary Museum in Jacksonville; Fendall Hall in Eufaula; Fort Mims near Stockton; Fort Morgan on Mobile Point in Baldwin County; Fort Toulouse/Jackson Park near Wetumpka; Gaineswood at Demopolis; Magnolia Grove at Greensboro; the John Tyler Morgan House in Selma; Belle Mont near Tuscumbia; the Middle Bay Light in Mobile Bay; Pond Spring; Bottle Creek Archaeological Site on Mound Island in the Mobile Delta; the Tardy Cottage in Mobile; and the Forks of Cypress in Lauderdale County. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the Historical Commission is to foster an awareness of the value of historic sites, structures, and objects that reflect the heritage of all Alabamians and to facilitate the preservation and documentation of these resources for the use, enjoyment, and education of present and future generations. The commission is one of the agencies primarily involved in carrying out the Stewardship function of Alabama government.

In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3), the commission has the authority to prescribe rules and regulations regarding its activities and programs.
- **Identifying.** The commission is responsible for conducting and maintaining a survey of significant sites, structures, districts, and objects and for nominating significant properties to the National Register of Historic Places. The commission locates and records historic structures, maintains the Alabama Inventory, manages the Alabama and National Register programs, reviews buildings for tax credit eligibility, and comments on the effects federal actions may have on historic properties.
- **Preserving and Developing.** The commission promotes the preservation and restoration of significant properties and provides technical information relating to the preservation of properties. The agency is also responsible for preserving the sixteen properties in its care; administering matters relating to the archeological resources of the state; coordinating the Section 106 Environmental Review process; overseeing the cultural resources portion of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA); overseeing the law protecting all burials in the state; and restoring, preserving, and operating the State Capitol and its historic grounds. The commission provides strategies and methods that encourage city, community, and private organizations to become involved in preservation through programs such as Main Street. Commission staff members are also

available to answer questions about historic architecture and encourage a better understanding of the state's historic architecture. The Alabama Historical Commission awards grants for preservation projects to inventory and record prehistoric and historic places, to encourage their preservation or promote awareness of them, to develop plans to protect them, and to provide funds for restoration or excavation. The commission also awards grants through its Certified Local Government Grant Program. There are two defining criteria for these grants: they go only to local governments that have been certified by the Alabama Historical Commission as having passed an ordinance that allows them to establish historic districts (thus the Certified Local Government, or CLG, designation), and they are not awarded for "bricks and mortar" projects. The grants are awarded to have survey work done, for planning, and for education.

The commission also sponsors and oversees the following councils that were created by the legislature: the Live-in-a-Landmark Council, the Alabama Council of Historic Pilgrimages, the Council of Alabama Archaeology, the State Historic Forts and Trails Council, and the Historic Resource Adaptors Council.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Managing the agency:** Activities involved in managing the agency may include general administration such as corresponding/communicating, meeting, and directing; representing the agency; lobbying on behalf of the agency; reporting; publicizing; managing records; managing information systems and technology.

**Managing finances:** Activities involved in managing finances may include the following: budgeting, which encompasses preparing and reviewing a budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget, and reporting in established budget status categories to the Department of Finance; purchasing, which encompasses requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received; accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting the Examiners of Public Accounts in the audit process.

**Managing human resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits, and administratively supported but employee-funded benefits such as additional life and health insurance and tax-deferral and savings

plans; supervising employees, which includes promoting, demoting, evaluating performance, granting leave, and monitoring the accumulation of leave.

**Managing properties, facilities, and resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the Office of State Auditor; leasing/renting offices if the agency does not own their office space; and securing and maintaining state property in the care of the agency, including vehicles.

**Completed: August 2000**

**Attachment: Organizational Chart**

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Historical Commission**

## **Agency Record Keeping System**

The Alabama Historical Commission operates a hybrid system composed of paper and electronic records.

**Computer Systems:** The commission's computer system consists of personal computers running Windows 95 and 98 and an NT server. Computer applications include various Microsoft and Corel suites of office software. The commission utilizes Inventory House 3.0, an inventory database program, for its site information, which is a permanent record. Two full back-ups of the server are made daily. One copy is maintained off-site. All staff members have Internet access and e-mail. The e-mail software utilized by the commission is Microsoft Exchange. Currently the offices of the commission outside of Montgomery use Internet Service Providers for Internet access. The site information database and maritime database are the only records maintained exclusively in electronic form.

**Paper-based System:** The board continues to maintain most of its records in paper form in its offices. Currently, no paper records are stored off-site.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Historical Commission: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met.

- **Reports Prepared for Other Agencies.** These reports are planning reports that are created for other agencies to assist those agencies in planning for the operation of their sites. The commission refers to them to answer the agency's questions about the plans.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Minutes of Commission Meetings.** The minutes are created to record actions taken at commission meetings. The minutes are permanent because they document the official actions of the commission. (RDA page 3-2) (**Bibliographic Title: Meeting Minutes**)



- **Preservation Legislation Files.** These files document the department's attempts to affect legislation before the legislature regarding historic sites and preservation. The files may include correspondence, drafts of legislation, comments on proposed legislation, and requests for legislation. The files are necessary to document actions taken by the department to try and change/maintain laws and how the department and state ensure historic preservation. (RDA page 3-2) **(Bibliographic Title: Legislative Files)**

## Identifying

- **National Register Files and Review Board Minutes.** The National Register of Historic Places is the nation's official list of historic buildings and sites worthy of preservation. It includes properties of state and local significance as well as those of national significance. The national register files document the commission's work in nominating buildings and sites to the register, and as such are useful in researching the work of the commission, the register, and the historic buildings and sites of the state. The National Register Review Board Minutes document the results of the National Register Review Board (RDA page 3-2) **(Bibliographic Title: Files Nominating Alabama Properties to the National Register)**
- **Alabama Register Files.** The Alabama Register of Landmarks and Heritage is an official list of buildings, sites, structures, objects, and districts worthy of preservation. It includes properties of national and state significance, as well as those of purely local importance. It is an honorary designation and carries no restrictions or financial incentives. Unlike the National Register, the Alabama Register is created as a quick way to designate historic properties. The Alabama Register includes properties such as cemeteries, churches, moved buildings, and structures less than 50 years old which may not normally qualify for National Register status. (RDA page 3-2) **(Bibliographic Title: Files Listing Properties on the Alabama Register)**
- **Nominations and Demolished and De-listed Properties.** These records document nominations to the registers that have not been approved and information on demolished and/or de-listed properties. (RDA page 3-3) **(Bibliographic Title: Nominations to the Register Not Approved; Demolished and De-listed Properties)**
- **Survey Documentation.** The commission, as the state historic preservation office, is mandated to systematically survey the state's historic resources. Survey documentation includes maps, photographs, negatives, slides, survey forms, and written reports that identify, record, and evaluate historic properties. These files also include information on cemetery locations and restorations in the state. These records provide detailed descriptions and analyses of the historical and/or archaeological significance of sites. (RDA page 3-2) **(Bibliographic Title: Survey Documentation on Historic Properties )**
- **Tax Credit Certifications.** Owners of income-producing historic buildings may be eligible for income tax credits based upon the amount they spend to renovate their National Register

listed or eligible properties. Part I of the tax credit applications contains information that attests to the building's significance. Parts II and III are related to the rehabilitation work. The certifications are retained as descriptive records of historic buildings and as records of the National Park Service's and commission's assessments. (RDA page 3-3) (**Bibliographic Title: Certifications for Eligibility for tax Credit**)

## **Preserving and Developing**

- **Historic Commission Site Files.** The Historic Properties Program exists to protect and interpret representative historic and archaeological sites within the state. The commission owns and operates the properties in this program. Some sites have long-term, phased, restoration plans that are implemented as funds become available. These records also include the inventories of the historic items located at the historic sites. The Historic Commission site files document the activities planned and/or undertaken at the sites. (RDA page 3-3) (**Bibliographic Title: Historic Commission Site Files**)
- **Certified Local Government Files.** The Certified Local Government Program assists local governments in establishing and administering a local historic preservation ordinance that will provide for the designation of historic landmarks and districts so properties and their settings will be protected from inappropriate development. The files include agreements, applications, records of National Park Service approval, local ordinances, maps of the local districts and properties, design guidelines, annual reports, resumes, and designation letters. The resumes and designation letters should be purged per the RDA. (RDA page 3-3)
- **State Plan Records.** These records are the research and background information that is gathered in the development of the state plan, as well as the state plan itself. Also included is correspondence from groups and individuals with comments and concerns about the state plan that is generated by the commission. (RDA page 3-4) (**Bibliographic Title: State Plan Records**)
- **Grant Final Reports, Grant Audit Reports, and Records of the Cultural Resources Preservation Trust Fund Grant Program.** The commission obtains grants for specific projects, and also manages the Certified Local Government Grants-In-Aid Program, which provides funding to accomplish preservation goals in eligible communities. The commission also administers a grant program that is funded by the Cultural Resources Preservation Trust Fund. This trust fund was set up after the State of Alabama won a settlement on behalf of the commission against a company that ignored federal review under Section 106. (RDA page 3-4) (**Bibliographic Title: Final Reports of Grants; Audit Reports of Grants; Cultural Resources Preservation Trust Fund Records**)
- **Cultural Resources Assessment and Archaeological Reports.** These reports document the existence and nature of cultural resources in various locations throughout the state. Often they are generated in response to the need to inventory cultural resources prior to

construction activities associated with projects that receive federal funding or permitting. The reports allow the commission to assess which areas of the state have been adequately surveyed for the presence of cultural resources and which will require additional survey. The reports also contain vital information to allow the staff to determine future impacts to the resources and to develop a context for various time periods of human existence in Alabama. In the case of archaeological reports, the information may serve as a basis for the development of management plans for the resources. (RDA page 3-4) **(Bibliographic Title: Assessment and Archaeological Reports Documenting Cultural Resources)**

- **Site Files.** The site files consist of the site files database, paper site/maritime files, and the maritime database. The site files database is the state database where information on all the known archaeological sites are located, including characteristics, ages, significance, and condition. Similar information is also maintained at Moundville by the University of Alabama. The database is used to ensure that federally permitted/funded activities do not impact the sites. The information in the database is also analyzed to assist the commission in identifying areas likely to have unidentified archaeological sites. The maritime files include requests for search permits and salvage permits and the maritime database of underwater cultural resources, which contains information that is frequently not listed on the site file database. The database is used to insure that federally permitted/funded activities do not impact the sites. (RDA page 3-4) **(Bibliographic Title: Site Files)**
- **Mitigation Documentation and Agreements.** According to Section 106 of the National Historic and Preservation Act, any construction project that involves the federal government (through licensing, permitting, funding, or a federal agency building the project) must receive concurrence from the Alabama Historical Commission if the project affects an important historical or archaeological site. The mitigation documentation files are created for projects that require a great deal of research and negotiation before a memorandum of agreement is reached. After concurrence, the files are closed. They contain correspondence, architectural drawings, photographs, maps, reports, agreements, and other documents. Copies of some, but not all, of the reports and agreements are sent to the U.S. Department of the Interior, which administers Title 106. Memorandum of agreements and Programmatic agreements are legal agreements that dictate how cultural resources will be managed on a given property. They usually result from a federal construction project that encountered significant cultural resources within the project area. The agreement outlines what the commission expects the agencies to do in order to minimize the project's effects and manage the resources. (RDA page 3-4) **(Bibliographic Title: Mitigation Documentation and Legal Agreements Regarding the Management of Cultural Resources)**
- **Plans and Specifications for Rehabilitations.** These records include the drawings and specifications for the rehabilitation of historic buildings and structures. The actual rehabilitation work must be performed according to the Secretary of the Interior's standards for rehabilitation. (RDA page 3-5) **(Bibliographic Title: Plans and Specifications for Rehabilitations of Historic Structures)**

- **Photographs and Other Recordings of Preservation Related Activities of the Commission.** These records document official activities of the agency and major events where the department is present. (RDA page 3-5) (**Bibliographic Title: Photographs**)
- **Geographic Information Systems (GIS) Layers For Properties.** Geographic information systems are computer programs that allow for the visualization and analyzation of multiple layers of data in order to understand their geographical relationship. The GIS layers include such information as topography, vegetation, hydrology, utilities, roads, structures, and history of construction. These layers are used to develop management plans for the commission's properties. (RDA page 3-5)

### **Administering Internal Operations**

- **Publications.** These records are created to build public awareness about a variety of issues and agency activities. The publications are necessary to document what the commission tells the public and how the department views itself. (RDA page 3-5) (**Bibliographic Title: State Publications**)
- **Annual and Quarterly Reports.** The annual and quarterly reports are summary documentation of the activities of the commission. (RDA page 3-5) (**Bibliographic Title: Annual Reports; Quarterly Reports**)
- **Administrative Correspondence of the Executive Director.** These records, which include official correspondence of the commission and not correspondence dealing with routine matters, document actions and positions of the commission. They are necessary for documenting numerous aspects of historic preservation in the state. (RDA page 3-5) (**Bibliographic Title: Administrative Files**)
- **News Releases.** These records consist of news releases of the commission for purposes of recruitment and publicity. They provide useful information documenting the activities of the department. (RDA page 3-5) (**Bibliographic Title: News Releases**)

**Completed: August 2000**

# **Permanent Records List**

## **Alabama Historical Commission**

### **Promulgating Rules and Regulations**

1. Minutes of Commission Meetings
2. Preservation Legislative Files

### **Identifying**

- \*1. National Register Files and Minutes
- \*2. Alabama Register Files
- \*3. Survey Documentation
- 4. Tax Credit Certifications
- 5. Nominations and Demolished and De-listed Properties

### **Preserving and Developing**

- \*1. Historic Commission Site Files
- \*2. Certified Local Government Files
- 3. State Plan Records
- 4. Grant Final Reports, Grant Audit Reports, and Records of the Cultural Resources Preservation Trust Fund Grant Program
- 5. Cultural Resources Assessment and Archaeological Reports
- \*6. Site Files
- 7. Mitigation Documentation and Agreements
- 8. Plans and Specifications for Rehabilitations
- 9. Photographs and Other Recordings of Preservation Related Activities of the Commission
- \*10. Geographic Information Systems (GIS) Layers For Properties

### **Administering Internal Operations**

1. Publications
2. Annual and Quarterly Reports
3. Administrative Correspondence of the Executive Director
4. News Releases

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# Historical Commission Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Historical Commission. The RDA lists records created and maintained by the Historical Commission in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Historical Commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Historical Commission's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other records-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have

become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, *but are not limited to*, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about agency social activities, such as a note to a group going to lunch.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Historical Commission and lists the groups of records created and/or maintained by the commission as a result of activities and transactions performed in carrying out these subfunctions. The commission may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Promulgating Rules and Regulations**

#### MINUTES OF COMMISSION MEETINGS

Disposition: PERMANENT RECORD.

#### Recordings of Meetings of the Commission

Disposition: Temporary Record. Retain until completion of one audit and release of the audit report.

#### PRESERVATION LEGISLATIVE FILES

Disposition: PERMANENT RECORD.

#### Minutes of Staff Meetings

Disposition: Temporary Record. Retain 1 year.

#### Recordings of Staff Meetings

Disposition: Temporary Record. Retain 1 year after end of the fiscal year in which the minutes were approved.

#### Register of Administrative Rules

Disposition: Retain in Office (Code of Alabama 1975, Sections 41-22-6).

#### Administrative Rule Files

Disposition: Temporary Record. Retain for useful life.

### **■ Identifying**

#### NATIONAL REGISTER FILES AND MINUTES

Disposition: PERMANENT RECORD.

#### ALABAMA REGISTER FILES

Disposition: PERMANENT RECORD.

## SURVEY DOCUMENTATION

Disposition: PERMANENT RECORD.

## TAX CREDIT CERTIFICATIONS

Disposition: PERMANENT RECORD.

Review and Compliance Files (any survey information or determinations of eligibility produced via these files are considered part of permanent survey documentation listed above)

Disposition: Temporary Record. Retain 8 years.

Dead Files (includes incomplete grant applications)

Disposition: Temporary Record. Retain 4 years.

## NOMINATIONS AND DEMOLISHED AND DE-LISTED PROPERTIES

Disposition: PERMANENT RECORD.

### ■ Preserving and Developing

HISTORIC COMMISSION SITE FILES (collection, exhibit, event, history, occupants, and maintenance records, operations reports of commission properties, and inventories of historic properties)

Disposition: PERMANENT RECORD.

Historic Commission Site Tour Logs/Visitor Logs

Disposition: Temporary Record. Retain 5 years.

Historic Commission Site Financial Files (includes Souvenir/Gift Shop Inventory, and records documenting the requisition, purchase, and sale of non-historic items, the receipt and invoice for goods, and the authorization for payment of products)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Main Street Files

Disposition: Temporary Record. Retain 3 years.

County/Project Tax Acts and Project Files

Disposition: Temporary Record. Retain 4 years.

## CERTIFIED LOCAL GOVERNMENT FILES

Disposition: PERMANENT RECORD. Retain city letters designating contact time until city is decertified. Retain resumes of local officials until no longer a member of the certified local government body.

Public Participation Meeting Files

Disposition: Temporary Record. Retain 3 years.



**STATE PLAN RECORDS**

Disposition: PERMANENT RECORD.

Grant Financial Records (not final reports, audit reports, nor trust fund grant records)

Disposition: Temporary Record. Retain 6 years after submission of final report.

**GRANT FINAL REPORTS, GRANT AUDIT REPORTS, AND RECORDS OF THE CULTURAL RESOURCES PRESERVATION TRUST FUND GRANT PROGRAM**

Disposition: PERMANENT RECORD.

CULTURAL RESOURCES ASSESSMENT AND ARCHAEOLOGICAL REPORTS (106 reports and in-house reports)

Disposition: PERMANENT RECORD.

106 Concurrence Letters

Disposition: Temporary Record. Retain 6 years.

Reports Prepared for other Agencies

Disposition: Temporary Record. Retain 2 years.

Special Projects Files (complicated 106 projects)

Disposition: Temporary Record. Retain 6 years after concurrence.

SITE FILES (includes databases)

Disposition: PERMANENT RECORD.

ISTEA and TEA-21 Grant Applications and Correspondence

Disposition: Temporary Record. Retain 3 years after end of funded program.

Final Concurrence Letters

Disposition: Temporary Record. Retain 8 years.

**MITIGATION DOCUMENTATION AND AGREEMENTS**

Disposition: PERMANENT RECORD.

Blueprints (not rehabs)

Disposition: Temporary Record. Retain until end of program.

**PLANS AND SPECIFICATIONS FOR REHABILITATIONS**

Disposition: PERMANENT RECORD.

**PHOTOGRAPHS AND OTHER RECORDINGS OF PRESERVATION RELATED ACTIVITIES OF THE COMMISSION**

Disposition: PERMANENT RECORD.

Public Questionnaires

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

GEOGRAPHIC INFORMATION SYSTEMS (GIS) LAYERS FOR PROPERTIES

Disposition: PERMANENT RECORD.

■ **Administering Internal Operations**

**Managing the Agency:**

PUBLICATIONS

Disposition: PERMANENT RECORD.

ANNUAL AND QUARTERLY REPORTS

Disposition: PERMANENT RECORD.

ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE DIRECTOR

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

Distinguished Service Awards

Disposition: Temporary Record. Retain 3 years.

Commission Meeting Notices

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Appointment Letters

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the term expires.

Routine Correspondence ( includes requests for information)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

Computer System Documentation (Y2K Records, hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

### **Managing Finances:**

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-24).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

**Managing Human Resources:**

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Certification of Eligibles for Employment

Disposition: Temporary Record. Retain until superseded.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after end of year in which the records were created.

Records documenting employee hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims  
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files  
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Section/Division Personnel Files  
Disposition: Temporary Record. Retain until separation of an employee from the agency.

Weekly Activity Reports  
Disposition: Temporary Record. Retain for useful life.

Records Documenting agency provision of training and professional development  
Disposition: Temporary Record. Retain 3 years.

### **Managing Properties, Facilities, and Resources:**

Semiannual Inventory Lists  
Disposition: Retain in office (Code of Alabama 1975, Section 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Affidavits  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Receipts of Responsibility for Property  
Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the lease or rental of office or warehouse space for the department  
Disposition: Temporary Record. Retain 6 years after expiration of the lease.

## **Approval of Records Disposition Authority**

By signing this agreement the Historical Commission acknowledges its responsibilities in the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Historical Commission will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, coordinating the transfer

and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in October of each year, and ensuring the regular implementation of the commission's approved RDA.

- Permanent records in the Historical Commission's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Historical Commission agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the commission and to inspect records destruction documentation. Government Records Division archivists are available to train the commission's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Lee E. Warner, Executive Director  
Alabama Historical Commission

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Edwin C. Bridges, Chairman  
State Records Commission